



DEPARTMENT OF THE ARMY  
411<sup>th</sup> BASE SUPPORT BATTALION  
UNIT 29245  
APO AE 09102

AEUSG-HD-PW-ENV

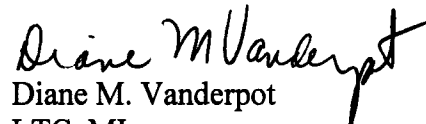
25 March 2004

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Environmental Management System (EMS), 411<sup>th</sup> BSB (Heidelberg), Self Assessment, 02 March 2004

1. The 411<sup>th</sup> BSB, Heidelberg, Germany, is submitting the present status of our EMS implementation self assessment with the attachment.
2. The BSB is estimated to be at 37.4% progress in achieving EMS conformance. We are currently on schedule to meet the 31 December 2005 deadline for having an EMS in place.
3. Point of Contact for the Environmental Management System is Ms. Betsey Kimmerly, primary EMS Coordinator ([Elizabeth.Kimmerly@BSBDPW.Heidelberg.Army.mil](mailto:Elizabeth.Kimmerly@BSBDPW.Heidelberg.Army.mil)) or Ms. Catherine Osborne-Flesch, alternate EMS Coordinator ([Catherine.Osborne-Flesch@BSBDPW.Heidelberg.Army.mil](mailto:Catherine.Osborne-Flesch@BSBDPW.Heidelberg.Army.mil)), 411<sup>th</sup> BSB DPW EMO at DSN: 387-3144.

Encl

  
Diane M. Vanderpot  
LTC, MI  
Commanding

Distribution:

26<sup>th</sup> ASG, DPW, Environmental Division, ATTN: Mr. Patrick Griffin  
IMA-Europe, Environmental Division, ATTN: Mr. Eric Haukdal

# ENVIRONMENTAL MANAGEMENT SYSTEM ASSESSMENT MODEL

NAME OF FACILITY 411th BSB

LOCATION Heidelberg, Germany

DATE OF ASSESSMENT March 1, 2004

SCOPE The Scope the Audit was the entire BSB.

EnSAM  
Environmental Management  
System Assessment  
Model

ISO 14001 Conformance  
ANSI/ISO 14001 - 1996

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Concurrent Technologies Corporation

I have reviewed the progress indicated in this spreadsheet for the implementation of an Environmental Management System at the 411th BSB and have found that it accurately reflects the current status of the EMS Program at our Installation.

See attached cover  
Commander's Signature

Letter, dated 25 March 2005  
Date

## EXECUTIVE SUMMARY (Percent Milestones Achieved for Full Compliance)

4.2 Policy

4.3.1 Environmental Aspects

4.3.2 Legal and Other Requirements

4.3.3 Objectives and Targets

4.3.4 Environmental Management Programme(s)

4.4.1 Structure and Responsibility

4.4.2 Training Awareness and Competence

4.4.3 Communication

4.4.4 EMS Documentation

4.4.5 Document Control

4.4.6 Operational Control

4.4.7 Emergency Preparedness and Response

4.5.1 Monitoring & Measurement

4.5.2 Nonconformance and Corrective and Preventive Action

4.5.3 Records

4.5.4 EMS Audit

4.6 Management Review

Cummulative Score

Goal 100%



100%

25%

60%

10%

0%

65%

0%

0%

0%

45%

0%

100%

30%

5%

50%

85%

60%

37.4%

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## 4.2 Policy

Does your organization have an Environmental Policy?

Is it written?

Is it communicated?

Does it provide for how objectives and targets are to be established?

Does it contain a commitment to the prevention of pollution?

Is the policy available to the Public?

Does it include commitment to comply with regulations, legislation and other requirements?

Does it contain a commitment to continual improvement?

Yes	No	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	25% Policy Developed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	20% Policy Written
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Policy Communicated
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Objectives Framework
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5% Commitment to P2
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5% Available to Public
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Commitment to Compliance
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5% Continual Improvement
Score		100%

## 4.2 Environmental Policy

Top management **shall** define the organization's environmental policy and ensure that it:

- (a) Is appropriate to the nature, scale and environmental impacts of its activities, products or services;
- (b) includes a commitment to continual improvement and prevention of pollution;
- (c) includes a commitment to comply with relevant environmental legislation and regulations, and with other requirements to which the organization subscribes;
- (d) provides the framework for setting and reviewing environmental objectives and targets;
- (e) is documented, implemented and maintained and communicated to all employees;
- (f) is available to the public.

### 4.3.1 Environmental Aspects

Does your organization have a procedure to identify environmental aspects of its operations, products or services?

In planning, does your organization consider the significant environmental impacts of its operations, products or services?

Are records regarding your aspects maintained and kept up to date?

Does your process consider the legal implications of its significant impacts?

Does the procedure consider the severity or frequency of occurrence?

Does the procedure consider the probability/duration of occurrence?

Do you consider concerns of interested parties and public image?

Does the process incorporate the concept of risk?

Yes	No	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Identifies Aspects
<input checked="" type="checkbox"/>	<input type="checkbox"/>	20% Considers Impacts
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Current Records
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Legal Implications
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Severity/Frequency
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Probability/Duration
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5% Public Concerns
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Risk Considered
Score		25%

### 4.3.1 Environmental Aspects

The organization **shall** establish and maintain procedure(s) to identify the environmental aspects of its activities, products, or services that it can control and over which it can be expected to have an influence, in order to determine those which have or can have significant impacts on the environment. The organization **shall** ensure that the aspects related to these significant impacts are considered in setting its environmental objectives.

The organization **shall** keep this information up-to-date.

### 4.3.2 Legal and Other Requirements

Does your organization have a procedure to identify legal and other requirements?

Does the organization communicate legal and other requirements to employees?

Do employees have access to relevant documents containing current requirements?

Do employees receive appropriate training relevant to requirements?

Is the information updated as laws and regulations change?

Yes	No	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Identifies Requirements
<input checked="" type="checkbox"/>	<input type="checkbox"/>	30% Communicates Requirements
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Current References
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Training Provided
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Updated
Score		60%

### 4.3.1 Legal and Other Requirements

The organization **shall** establish and maintain a procedure to identify and have access to legal requirements, and other requirements to which the organization subscribes that are directly applicable to the environmental aspects of its activities, products and services.

### 4.3.3 Objectives and Targets

Throughout your organization are there documented objectives and targets for relevant processes and personnel?

Are persons responsible for achieving objectives and targets involved in their development?

Are the objectives and targets quantifiable and measurable?

Have legal and other requirements been considered in the process?

Do they reflect the significant environmental aspects of the organization?

Do they consider the technology options, financial resources, operational and business requirements?

In establishing the Objectives and Targets were the views of interested other third parties considered?

Are Objectives and Targets consistent with policy?

Are Objectives and Targets support a commitment to P2?

Yes	No	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Documented Goals
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Personnel Involvement
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Quantifiable Goals
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Requirements Considered
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Significant Aspects
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Business Constraints
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Interests Considered
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Consistent with Policy
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Supports P2
Score	10%	

### 4.3.3 Objectives and Targets

The organization **shall** establish and maintain **documented** environmental objectives and targets, at each relevant function and level within the organization.

When establishing and reviewing its objectives, an organization **shall** consider the relevant legal and other requirements, its significant environmental aspects, its technological options and its financial, operational and business requirements and the views of interested parties.

The objectives and targets **shall** be consistent with the environmental policy, including the commitment to prevention of pollution.

#### 4.3.4 Environmental Management Programme(s)

Does your organization have a program(s) to meet its objectives and targets at each relevant function and level within the organization?

Have the relevant personnel been given the responsibility for achieving the objectives and targets?

Do the programme(s) provide for the means and relevant time frames by which each objective and target is to be met?

Are changes that occur in the activities products or services of the organization updated in the programme(s)?

Do the programme(s) consider the technology options, financial resources, operations and business requirements?

Are the personnel responsible for the programs also involved in the development of the Objectives and Targets?

Are the programs consistent with the Policy?

Consistent with commitment to prevention of pollution?

Yes	No	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Programs Established
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Responsibilities Assigned
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Means and Timeframes
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Plans Updated
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Constraints Considered
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Personnel Involved
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Consistent with Policy
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Supports P2
Score		0%

#### 4.3.4 Environmental Management Programme(s)

The organization **shall** establish and maintain (a) programme(s) for achieving its objectives and targets. It shall include:

(a) designation of responsibility for achieving objectives and targets at each relevant function and level of the organization; and

(b) the means and time frame by which they are to be achieved.

The objectives and targets **shall** be consistent with the environmental policy, including the commitment to prevention of pollution.

If a project relates to new developments and new or modified activities, products, or services, programme(s) **shall** be amended where relevant to ensure that environmental management applies to such projects.

#### 4.4.1 Structure and Responsibility

Has your organization appointed a management (EMS) representative(s)?

Has Top Management defined the roles and responsibilities of the Management System representative?

Does the Management representative periodically report to top management on the performance of the EMS?

Are roles, responsibility and authorities defined, documented and communicated?

Does Top Management provide resources to implement and control EMS?

Is the EMS structure documented in an organizational chart?

Are the EMS responsibilities documented in job descriptions?

Do Employees receive relevant EMS training?

Yes	No	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	25% Representative Appointed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Empowered
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Periodic Reporting
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Organization Established
<input checked="" type="checkbox"/>	<input type="checkbox"/>	20% Resources Provided
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5% Organizational Chart
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Job Descriptions
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Training Provided
Score		65%

#### 4.4.1 Structure and Responsibility

Roles, responsibility and authorities **shall** be defined, **documented** and communicated in order to facilitate effective environmental management.

Management **shall** provide resources essential to the implementation and control of the environmental management system. Resources include human resources and specialized skills, technology and financial resources.

The organization's top management **shall** appoint a specific management representative(s) who, irrespective of other responsibilities, **shall** have defined rolls, responsibilities and authority for:

- (a) ensuring that environmental management system requirements are established, implemented and maintained in accordance with this standard;
- (b) reporting on the performance of the environmental management system to top management for review and as a basis for improvement of the environmental management system.



#### 4.4.2 Training, Awareness and Competence

Does your organization identify training needs relevant to the EMS and for those individuals requiring specialized training?

Do employees whose work may create a significant impact on the environment receive appropriate training?

Are employees whose work can cause significant environmental impacts competent based on training, experience or education?

Is EMS awareness training provided to all employees?

Are training requirements documented and tracked?

Employees are aware of consequences for departure from specified operating procedures?

Have all levels of the organizations received appropriate training?

Yes	No	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Training Identified
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Impacts Incorporated
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Competent Personnel
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Training Provided
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Training Records
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Consequences
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Comprehensive
Score		0%

#### 4.4.2 Training Awareness and Competence

The organization **shall** identify training needs. It **shall** require that all personnel, whose work may create a significant impact upon the environment, have received appropriate training.

It **shall** establish and maintain procedures to make its employees/members at all relevant levels aware of:

- (a) the importance of conformance with the environmental policy and procedures and with the requirements of the environmental management system;
- (b) the significant environmental impacts, actual or potential, of their work activities and the environmental benefits of improved personal performance;
- (c) their roles and responsibilities in achieving conformance with the environmental policy and procedures and with the requirements of the environmental management systems, including emergency preparedness and response requirements; and
- (d) the potential consequences of departure from specific operating procedures.

Personnel performing tasks which can cause significant environmental impacts **shall** be competent on the basis of appropriate education, training, and/or experience.

#### 4.4.3 Communication

Does your organization have procedures for communications concerning the EMS?

Have the organization communication procedures been implemented?

Do the communication procedures address communication between the various parts of the organization?

Has a decision been made on what types of information will be shared with external parties?

Has this decision been documented?

Yes	No	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Procedures Developed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Implemented
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Comprehensive
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% External Parties Considered
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Documented Responses
Score		0%

#### 4.4.3 Communication

The organization **shall** establish and maintain procedures for:

- (a) internal communication between various functions and levels of the organization;
- (b) receiving, documenting and responding to relevant communication from external interested parties

The organization **shall** consider processes for external communication on its significant environmental aspects and **record** its decision.

#### 4.4.4 EMS Documentation

Has your organizations documented the core elements of the EMS?

Does the documentation describes the interrelationships between elements?

Does the documentation provide direction to related documentation?

Is the documentation in either paper or electronic form?

Yes	No	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Elements Defined
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Relationships Described
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Roadmap to Documents
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Recorded
Score		0%

#### 4.4.4 EMS Documentation

The organization **shall** establish and maintain information in paper or electronic form, to:

- (a) describe the core elements of the management system and their interaction, and
- (b) provide direction to related documentation

#### 4.4.5 Document Control

Have procedures been defined for creation and modification of documents?

Are you tracking which copies of programs, policies and regulations are in use to ensure the latest versions of such documents are being used?

Are EMS documents identified as controlled documents?

Are EMS documents easily located?

Are EMS documents periodically reviewed and revised?

Are EMS documents reviewed for adequacy and approved before use?

Are EMS documents available where needed by the users?

Are obsolete documents removed and controlled?

Are legal and historical documents identified for retention?

Are Documents identifiable, dated and retained for specified periods?

Yes	No	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Document Procedure
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Version Tracking
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Controlled
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Easy to Find
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Updated
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Approved
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Available
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5% Obsolescence
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Liability
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Traceable
Score		45%

#### 4.4.5 Document Control

The organization **shall** establish and maintain procedures for controlling all documents required by this standard to ensure that:

- (a) they can be located;
- (b) they are periodically reviewed, revised as necessary and approved for adequacy by authorized personnel;
- (c) the current versions of relevant documents are available at all locations where operations essential to the effective functioning of the environmental management system are performed;
- (d) obsolete documents are promptly removed from all points of issue and points of use or otherwise assured against unintended use;
- (e) any obsolete documents retained for legal and/or knowledge preserve attain purposes are suitably identified.

Documentation **shall** be legible, dated (with dates of revision) and readily identifiable, maintained in an orderly manner and retained for a specified period. Procedures and responsibilities **shall** be established and maintained concerning the creation and modification of the various types of document.

#### 4.4.6 Operational Control

Have the areas where potential impacts to the environment can occur been identified?

Have operating controls been established in areas where potential environmental impacts could occur?

Are control procedures documented?

Operational activities include appropriate maintenance?

Requirements and procedures are communicated to suppliers and contractors?

Are there established procedures for monitoring, reviewing, and controlling processes that may impact the goals of the EMS?

Do SOPs also consider the significant aspects of goods and services used?

Are activities planned to ensure that they are carried out under specified conditions?

Yes	No	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Areas Identified
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Controls Established
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Procedures Documented
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Equipment Maintained
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Notification Provided
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Monitored
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Conservation
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Activities Planned
Score		0%

#### 4.4.6 Operational Control

The organization **shall** identify those operations, and activities that are associated with the identified significant environmental aspects, in line with its policy, objectives and targets. The organization **shall** plan these activities, including maintenance, in order to ensure that they are carried out under specified conditions by:

- (a) establish and maintain **documented procedures** to cover situations where their absence could lead to deviations from the environmental policy and the objectives and targets;
- (b) stipulating operating criteria in the procedures;
- (c) establishing and maintaining procedures related to the significant environmental aspects of goods and services used by the organization and communicating on the relevant procedures and requirements to suppliers and contractors.

#### 4.4.7 Emergency Preparedness & Response

Does the Organization have an emergency preparedness and response plan?

Plan includes procedures for response to accidents and emergency situations, and for preventing and mitigating impacts?

Employees trained to respond to accidents and emergencies?

Personnel have been assigned responsibility for emergency planning?

The Plan is periodically tested?

The Plan is reviewed after accidents or emergency situations?

The Plan is updated and kept current?

Plan identifies potential emergency situations?

Yes	No	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Plan Exists
<input checked="" type="checkbox"/>	<input type="checkbox"/>	20% Impact Mitigation
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Training Provided
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Assigned Responsibility
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Periodic Testing
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Reviewed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5% Current
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Proactive
Score		100%

#### 4.4.7 Emergency Preparedness and Response

The organization **shall** establish and maintain procedures to identify potential for and respond to accidents and emergency situations, and for preventing and mitigating the environmental impacts that may be associated with them.

The organization **shall** review and revise, where necessary, its emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergency situations.

The organization **shall** also periodically test such procedures where practicable.

#### 4.5.1 Monitoring & Measurement

Does the organization have a documented procedure to monitor and measure areas of its operations which may impact the environment?

Has the equipment used to monitor/measure these areas been calibrated?

Calibration records are maintained and up-to-date?

The Organization has established performance measures consistent with its environmental objectives and targets?

The Organization periodically evaluates compliance with environmental legislation and regulations?

Information is recorded and used to track performance?

Metrics are consistent with the environmental policy?

Yes	No	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Documented Procedure
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Equipment Calibrated
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Records Maintained
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Metrics Established
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Compliance Audits
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Tracks Performance
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Supports Policy
Score		30%

#### 4.5.1 Monitoring and Measurement

The organization **shall** establish and maintain **documented procedures** to monitor and measure on a regular basis the key characteristics of its operations and activities that can have a significant impact on the environmental. This **shall** include the recording of information to track performance, relevant operational controls and conformance with the organization's environmental objectives and targets.

Monitoring equipment **shall** be calibrated and maintained and records of this process shall be retained according to the organization's procedures.

The organization **shall** establish and maintain a documented procedure for periodically evaluating compliance with relevant environmental legislation and regulations.

#### 4.5.2 Nonconformance and Corrective and Preventive Action

Has the Organization developed procedures for investigating and correcting deviations (i.e. nonconformances) to the EMS?

Has the responsibility and authority for handling and investigating nonconformances been assigned?

Does the procedure include actions to mitigate any impacts and initiating corrective and preventive action?

Are the actions to be initiated appropriate to the magnitude of the problems and impact on the environment?

Are changes to documented procedures recorded?

Are actions taken timely and effective?

Does the Investigations of nonconformance include the identification of root cause?

Does the Procedure addresses potential nonconformances?

Yes	No	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Procedure Exists
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Responsibility Assigned
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Mitigation
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Considers Severity
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Changes Documented
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Timely and Effective
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5% Root Causes Identified
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Preventive Actions
Score		5%

#### 4.5.2 Nonconformance and Corrective and Preventive Action

The organization **shall** establish and maintain procedures, define responsibility and authority, for handling and investigating non-conformance, taking action to mitigate the impacts caused by non-conformances and for initiating and completing corrective and preventive action.

Any corrective or preventive action taken to eliminate the causes of actual and potential non-conformances **shall** be appropriate to the magnitude of problems and commensurate with the environmental impact encountered.

The organization **shall** implement and record any changes in the documented procedures resulting from corrective and preventive action.



### 4.5.3 Records

Does the Organization have a procedure for the Identification, maintenance and disposition of environmental records?

Are Environmental records legible, identifiable and traceable?

Are Environmental records readily retrievable, protected against damage, deterioration or loss?

Do Records have recorded retention times?

Do Records include training records?

Are Audits and EMS reviews identified as records?

Do Records include regulatory compliance audits?

Do Records include key performance data related to its objectives and targets?

Yes	No	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Procedure Exists
<input checked="" type="checkbox"/>	<input type="checkbox"/>	20% Identifiable
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Protected
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Retention Specified
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Training Records
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% EMS Audits Captured
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5% Regulatory Requirements
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Performance Metrics
Score		50%

### 4.5.3 Records

The organization **shall** establish and maintain procedures for the identification, maintenance and disposition of environmental records. These records **shall** include training records, and the result of audits and reviews.

Environmental records **shall** be legible, identifiable and traceable to the activity, product or service involved. Environmental records **shall** be stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss. Their retention times **shall** be established and recorded.

Records **shall** be maintained, as appropriate to the system and to the organization, to demonstrate conformance to the requirements of this standard

#### 4.5.4 EMS Audit

Does a procedure for conducting management system audits exist?

Does the Organization have an audit program including schedule?

Is the EMS audit schedule based in part on previous audit results?

Does the Scope of EMS considers the environmental importance of the activities?

Does the Audit program include the scope, frequency and methodology?

Are EMS audit responsibilities identified?

Are the reporting requirements of EMS audit specified?

Are the Auditor qualifications specified in the EMS audit procedure?

Yes	No	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Procedure Exists
<input checked="" type="checkbox"/>	<input type="checkbox"/>	20% Schedule Developed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Trends Addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Impacts Considered
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Audit Framework
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Responsibilities
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5% Reporting
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Qualifications
Score		85%

#### 4.5.4 EMS Audit

The organization **shall** establish and maintain a programme and procedures for periodic environmental management system audits to be carried out, in order to:

- (a) determine whether or not the environmental management system:
  - (1) conforms to planned arrangements for environmental management including the requirements of this standard; and
  - (2) has been properly implemented and maintained; and
- (b) provide information on the results of the audit to management.

The organization's audit programme, including any schedule, **shall** be based on the environmental importance of the activity concerned and the results of previous audits. In order to be comprehensive, the audit procedures **shall** cover the audit scope, frequency and methodologies, as well as the responsibilities and requirements for conducting audits and reporting results.

## 4.6 Management Review

Does Top Management periodically review the EMS?

Management reviews consider continued suitability, adequacy and effectiveness?

The Management review is documented?

Review considers the possible need for changes to policy?

Changes to objectives and targets are considered during the review

Changes to situational, economic and environmental conditions are evaluated?

Review minutes are available to the employees?

Interest of third parties are considered?

Yes	No	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Reviews Conducted
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Relevant
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Minutes Published
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10% Policy Reviewed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Progress Evaluated
<input type="checkbox"/>	<input checked="" type="checkbox"/>	0% Situational Factors
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5% Available to Employees
<input checked="" type="checkbox"/>	<input type="checkbox"/>	15% Third Party Interests
Score		60%

## 4.6 Management Review

The organization's top management **shall**, at intervals it determines, review the environmental management system, to ensure its continuing suitability, adequacy, and effectiveness. The management review process **shall** ensure that the necessary information is collected to allow management to carry out this evaluation. This review shall be documented.

The management review **shall** address the possible need for changes to policy, objectives and elements of the EMS in the light of environmental management system audit results, changing circumstances and the commitment to continual improvement.